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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number : 10/522,168 Confirmation No. 9142 #5  
Applicant(s) : Andreas Heise, et al.  
Filed : January 24, 2005 Rec'd PCT/PTO 23 AUG 2005  
Tech Cntr/GAU : Not Yet Assigned  
Examiner : Not Yet Assigned  
Entitled : PROCESS FOR THE PREPARATION OF A BLOCK  
COPOLYMER  
Attorney Reference : 121640-05007519  
Customer Number : 43569

**MAIL STOP PCT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Sir:

Pursuant to 37 CFR §1.97 and 1.56, the attention of the U.S. Patent and Trademark Office is hereby directed to the following disclosures made herein, which include:

**REFERENCES AND RELEVANCY**

- ☐ Applicant(s) wish(es) to make of record the documents listed on the attached Form PTO-1449. Copies of the listed documents are attached, where required, as are any readily available full or partial English translations of any non-English language documents.
- ☐ Applicant(s) wish(es) to make of record the documents listed on the attached Form PTO-1449. The references cited herein were cited for consideration in the parent application, and, pursuant to 37 CFR 1.98(d), copies of the cited references can be found in the file of the parent application (*U.S. Serial No.* , *filed* ).
- ☒ Applicant(s) wish(es) to make of record the documents listed on the attached Form PTO-1449. The references cited herein were cited in the International Search Report issued for the corresponding International application, and copies of the International Search Report and the cited references are attached for the Examiner's consideration.
- ☐ Applicant(s) wish(es) to make of record the documents listed on the attached Form PTO-1449. The references cited herein were cited in a communication from a foreign or international patent office in a counterpart foreign or international application(s), and copies of both the relevant communication and the cited references, where required, are attached for the Examiner's consideration.

#### CERTIFICATION

The undersigned certifies that, pursuant to 37 CFR §1.97(e)(1),

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application not more than three months prior to the filing of this Statement.

#### RELATED CASES

- ☐ Identified in the attached Appendix are related applications directed to related technical subject matter. Copies of the related applications, where required, are attached for the Examiner's consideration. *The identification of the related U.S. patent applications is not to be construed as a waiver of secrecy for those applications, now or upon issuance of the present application as a patent.*

#### BASIS FOR CONSIDERATION

This Information Disclosure Statement is filed:

- ☒ within three months of the filing date of the application and/or before the mailing date of a first Official Action on the merits, and no fee is required [37 C.F.R. §1.97(b)].
- ☐ with the appropriate certification, and no fee is required [37 C.F.R. §1.97(e)(1)].
- ☐ after the mailing date of the first Official Action on the merits, but prior to the issuance of a Final Official Action or a Notice of Allowance, and the requisite fee, if necessary, is authorized herein for payment [37 C.F.R. §1.97(c)].
- ☐ after the mailing date of the Final Official Action or Notice of Allowance, but prior to the payment of the issue fee, the requisite certification under 37 CFR §1.97(e)(1) is made herein, and the requisite fee, if necessary, is authorized herein for payment [37 C.F.R. §1.97(d)].
- ☐ with a Request for Continued Examination (RCE), and no fee is required [37 C.F.R. §1.97(b)(4)].

#### FEE AUTHORIZATION

- ☒ Authorization is hereby given to charge any deficient fee(s) under 37 CFR §1.16 and §1.17 as necessary to ensure the consideration of this disclosure, or to credit any fee overpayments, to Deposit Account No. 503-121.
- ☐ Authorization is hereby given to charge the requisite fee of \$180 (Fee Code 1806) for submission of this Information Disclosure Statement to Deposit Account No. 503-121.

It is respectfully requested that this information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Examiner is further respectfully requested to return of a copy of the enclosed Form PTO-1449 with the Examiner's initials in the left column.

The examination and allowance of this Application is respectfully requested.

Respectfully Submitted,

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Date: August 23, 2005  
Attachment(s): PTO Form 1449  
Cited References

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Attorney Reference: 121640-05007519

Applicant: Andreas Heise, et al.

Application Serial No. 10/522,168

Filing Date: January 24, 2005

Date: August 23, 2005

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Examiner: unassigned

Group Art Unit: unassigned

**U.S. PATENT DOCUMENTS**

Examiner's Initials*		Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
	AR	6,114,458	09/2000	Hawker et al.			
	BR	5,439,985	08/1995	Gross et al.			
	CR						
	DR						
	ER						
	FR						
	GR						
	HR						
	IR						

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date MM/YYYY	Country			Translation Readily Available		English Abstract	
							Enclosed	No	Enclosed	No
	JR									
	KR									
	LR									
	MR									
	NR									
	OR									
	PR									
	QR									
	RR									
	SR									

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

	TR	Meyer, Ursula, et al., "Enzymatic Ring-Opening Polymerization and Atom Transfer Radical Polymerization from a Bifunctional Initiator," <i>Macromolecules</i> , Vol. 35, No. 8, June 3, 2002, pp. 2873-2875.
	UR	Kobayashi, Shiro, et al., "Enzymatic Polymerization," <i>Chemical Review</i> , Vol. 101, No. 12, November 7, 2001, pp. 3793-3818.
	VR	Hawker, Craig, J., et al., "New Polymer Synthesis by Nitroxide Mediated Living Radical Polymerizations," <i>Chemical Review</i> , Vol. 101, No. 12, October 25, 2001, pp. 3661-3688.
	WR	Trollsas, Mikael, et al., "Highly Branched Block Copolymers: Design, Synthesis, and Morphology," <i>Macromolecules</i> , Vol. 32, No. 15, July 27, 1999, pp. 4917-4924.
	XR	Kondaveti, Leelakrishna, et al., "Lipase-catalyzed solvent-free kinetic resolution of substituted racemic $\epsilon$ -caprolactones," <i>Tetrahedron: Asymmetry</i> , Vol. 13, No. 2, February 28, 2002, pp. 129-135.
	YR	International Search Report dated January 20, 2004 for PCT/NL03/00515.

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.